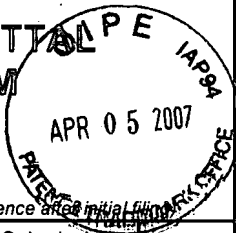



TRANSMITTAL FORM  <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/718,500
	Filing Date	November 24, 2000
	First Named Inventor	DEMBO, Ron S.
	Art Unit	3624
	Examiner Name	Ella Colbert
Total Number of Pages in This Submission	Attorney Docket Number	11483-80

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): return receipt card; and certificate of correction (2 copies)
Remarks <div style="text-align: right;">Certificate</div>		

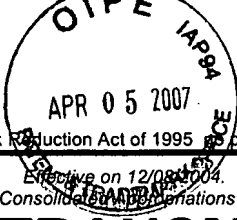
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		APR 09 2007	
Firm	Bereskin & Parr		
Signature			
Printed Name	Kendrick Lo		
Date	April 3, 2007	Reg. No.	54,948

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature			
Typed or printed name		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Effective on 12/08/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).**FEE TRANSMITTAL**
For FY 2006☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 100.00**Complete if Known**

Application Number	09/718,500
Filing Date	November 24, 2000
First Named Inventor	DEMBO, Ron S.
Examiner Name	Ella Colbert
Art Unit	3624
Attorney Docket No.	11483-80

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☒ Deposit Account Deposit Account Number: _____ Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, **except for the filing fee**☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims
- 20 or HP =	x	=		Fee (\$)

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 3 or HP =	x	=	

HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 =	/ 50 =	(round up to a whole number) x	=	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Certificate of Correction

100.00

SUBMITTED BY

Signature		Registration No. (Attorney/Agent) 54,948	Telephone 416-957-1685
Name (Print/Type)	Kendrick Lo		Date April 4, 2007

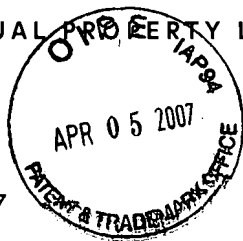
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APR 09 2007

Bereskin & Parr

INTELLECTUAL PROPERTY LAW



April 3, 2007

Kendrick Lo B.A.Sc. (Eng. Sci.), MBA, LL.B.
416 957 1685 kio@bereskinparr.com

Your Reference: 7,171,385

Our Reference: 11483-80

CERTIFICATE OF CORRECTION REQUEST

The Commissioner of Patents
P.O. Box 1450
Alexandria, Virginia
22313-1450, U.S.A.

Dear Sir:

Re: U.S. Patent No. 7,171,385

Date of Patent: January 30, 2007

Patentee: Algorithmics International Corp.

**Title: SYSTEM AND METHOD FOR TRADING OFF PUT AND CALL VALUES
OF A PORTFOLIO**

In accordance with the provisions of 35 USC 255, the Patentee herein respectfully requests that a Certificate of Correction be issued for the above-identified Patent. The fee of \$100.00 is included as detailed on the accompanying fee transmittal form.

Patentee hereby requests that the corrections be made as indicated on the attached form PTO/SB/44.

The amendments are made to correct errors introduced by the Patent and Trademark Office and to correct errors of a clerical or typographical nature, or mistakes of minor character. The corrections do not constitute new matter, and do not require reexamination.

Yours truly,

A handwritten signature in black ink, appearing to be "KLo".

Kendrick Lo
Registration No. 54,948
/mes
Encl.

04/06/2007 MBERHE1 00000126 09718500

01 FC:1011

100.00 00

04/06/2007 MBERHE1 00000127 7171385

01 FC:1011

100.00 00

APR 09 2007

UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO : 7,171,385

Page 1 of 3

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

It is certified that errors appear in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

In Column 6, lines 35, 52, and 59 replace: "MtP" with --MtF--

In Column 11, line 29 replace: "MtP" with --MtF--

In Column 11, line 31 replace: "portfolio Liquidity" with --portfolio. Liquidity--

In Column 12, line 4 replace: "qi,qi" with --qi, qi--

In Column 13, line 10 replace: " $(x_a - x_b) \leq x_1 0$ " with -- $(x_a - x_b) \leq x_1 \leq 0$ --

In Column 13, line 32 replace: " $x_{i,j}$ " with -- x_{i+1} --

In Column 13, line 49 replace: " $\text{maximize}_{(x,u,d)} p^T u$ " with -- $\text{maximize}_{(x,u,d)} p^T u$ --

In Column 13, line 52 replace: " $u-d-(M-rq)^T x=0 \quad (\pi)$ " with -- $u-d-(M-rq^T)x=0 \quad (\pi)$ --

In Column 13, line 53 replace: " $-x \leq -x_L \quad (\alpha_L)$ " with -- $-x \leq -x_L \quad (\omega_L)$ --

In Column 13, line 54 replace: " $x \leq x_U \quad (\alpha_U)$ " with -- $x \leq x_U \quad (\omega_U)$ --

In Column 16, line 41 replace: " $\text{minimize}_{(\mu,\pi,\alpha_L,\alpha_U)} k\mu - (x_L)^T \alpha_L + (x_U)^T \alpha_U$ " with
-- $\text{minimize}_{(\mu,\pi,\omega_L,\omega_U)} k\mu - (x_L)^T \omega_L + (x_U)^T \omega_U$ --

In Column 16, line 43 replace: " $\alpha_L \cdot \alpha_U + (M^T - qr^T)\pi = 0$ " with -- $\omega_L - \omega_U + (M^T - qr^T)\pi = 0$ --

In Column 16, line 44 replace: " $p\mu - \pi \leq 0$ " with -- $p\mu - \pi \geq 0$ --

In Column 16, line 45 replace: " $\pi \leq p$ " with -- $\pi \geq p$ --

In Column 16, line 46 replace: " $\mu, =_L / \alpha_U \leq 0$ " with -- $\mu, \omega_L, \omega_U \geq 0$ --

In Column 16, line 49 replace: " $\lambda_j = p_j$ " with -- $\pi_j = p_j$ --

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UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF CORRECTION

PATENT NO : 7,171,385

Page 2 of 3

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

In Column 17, line 10 replace: " $(\omega_L)_i - (\omega_U)_i + \sum_{i=1}^s (M_{ji} - q_i r_j) \pi_j = 0$ " with

$$--(\omega_L)_i - (\omega_U)_i + \sum_{j=1}^s (M_{ji} - q_i r_j) \pi_j = 0--$$

In Column 17, line 39 replace: " $f = \sum_{i=1}^s \pi_j$ " with $--f = \sum_{j=1}^s \pi_j--$

In Column 17, line 45 replace: " $\frac{(\omega_L)_i}{f} - \frac{(\omega_U)_i}{f} + \sum_{i=1}^s (M_{ji} - q_i r_j) \rho_j = 0$ " with

$$--\frac{(\omega_L)_i}{f} - \frac{(\omega_U)_i}{f} + \sum_{j=1}^s (M_{ji} - q_i r_j) \rho_j = 0--$$

In Column 17, line 55 replace: " $E_\rho(v_{(j)}) = \sum_{i=1}^s (M_{ji} - q_i r_j) \rho_j$ " with $--E_\rho(V_{(i)}) = \sum_{j=1}^s (M_{ji} - q_i r_j) \rho_j--$

In Column 19, line 15 replace: "over p" with $--over \rho--$

In Column 19, line 21 replace: "investor." with $--investor)--$

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PATENT NO : 7,171,385

Page 3 of 3

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

In Column 19, line 34 replace: " $r_o \rho^T u - r_o \rho^T d = r_o \rho^T (M - r q^T) x$ " with
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In Column 19, line 38 replace: " $\pi^T (u - d - (M - r q^T) x) = 0$ " with -- $\pi^T (u - d - (M - r q^T) x) = 0$ --

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In Column 20, line 66 replace: "It can b shown" with --It can be shown--

In Column 21, line 17 replace: " $(M^T - q r^T) \pi + \omega_U - \omega_L = 0$ " with -- $(M^T - q r^T) \pi + \omega_U - \omega_L = 0$ --

In Column 22, line 15 replace: "maximize $(x, u, d) p^T u$ " with --maximize $_{(x, u, d)} p^T u$ --

In Claim 13, line 51 replace: "maximize $(x, u, d) p^T d$ " with --minimize $_{(x, u, d)} p^T d$ --

In Claim 13, line 53 replace: " $p^T d \leq k$ " with -- $p^T u \geq k$ --

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UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO : 7,171,385

Page 1 of 3

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

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Page 2 of 3

APPLICATION NO. : 09/718,500

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INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

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APPLICATION NO. : 09/718,500

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In Column 21, line 17 replace: " $(M^T - q r^T) \pi + \omega_{U-\omega_L} = 0$ " with $-- (M^T - q r^T) \pi + \omega_U - \omega_L = 0 --$

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